

**State CIO  
Agency IT Plan  
2007 – 2009 Biennium**

**Office of Administrative Hearings  
IT Plans**

**October 2006**

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Departmental/Agency IT Plans  
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# **Chapter 1 - Departmental/Agency Strategic Business Initiatives and Major Business Requirements**

The mission of the Office of Administrative Hearings is to serve the citizens of North Carolina, with quality and efficiency, by providing an independent forum for impartial resolution of disputes of administrative law involving state agencies; investigating alleged acts of unlawful employment practices in state government; functioning as the state's codifier and publisher of all administrative rules; and in the review of rules before the Rules Review Commission.

The Office of Administrative Hearings goals for 2007-2009 are to increase agency efficiencies and to improve service to the citizens of North Carolina and government agencies state-wide. The specific business initiatives are outlined in the following sections and are organized by agency division.

The Hearings division's business initiatives are:

- Improve automated interaction with the public and government agencies
- Increase tracking of case status and statistical information to improve accountability and make informed management decisions
- Reduce duplication of tasks and data

The Rules division's business initiatives are:

- Increase timeliness and accuracy of information to the public and government agencies
- Increase internal efficiencies and combine processes

In general, the Office of Administrative Hearings would also like to increase the reliability and maintainability of its information systems to ensure the continuation of essential business functions.

## **Chapter 2 - Requirements for Transitioning Existing IT Activities/Resources**

### **Current projects**

Currently, there are no active projects in the Office of Administrative Hearings' project portfolio. The Office of Administrative Hearings is maintaining its current business applications but anticipates new projects in the 2007-2009 biennium.

### **Applications**

The Office of Administrative Hearings currently maintains three applications. The Hearings division uses the Case Automated Tracking System to track administrative law contested cases. The Rules division uses the Rules Automated Tracking System to track administrative rules through the rulemaking process. The Rules division also uses the Administrative Code Rollup program to make rules accessible and searchable on the web.

The Case Automated Tracking System aligns directly with the Hearings division's mission and is at the core of their business processes. This application, however, is a high risk application in terms of both business risk and technology risk. This application was custom written by one person at the Office of Information Technology who is no longer employed there. Microsoft Access 2000 is used as the front end user interface and contains all of the application logic. The data is stored in a Microsoft SQL 2000 Server database. The application that was specified in the design phase was never fully completed or implemented. This application does not provide sufficient business value. Areas of deficiencies are tracking of case status and statistical information, integration of documents such as written decisions in MS Word, scanned documents, electronic voice recordings of hearings, and other electronic documents that may be relevant to a case, automated alerts to events or actions, integrated calendaring functions to staff, citizens, and state agencies, online filing of cases, or publishing selected reports to the web. The application uses outdated software as the client, uses non-standard design, is difficult to maintain, and only one staff member has the skills needed to maintain this application. There are no maintenance agreements for upgrades or availability of developer support personnel. The Office of Administrative Hearings is seeking to replace this system in fiscal year 2007.

The Rules Automated Tracking System is directly aligned with the Rules division mission and is at the core of their business processes. This application was custom written by one individual. It is composed of a web server front end with the application logic on the server. The application was written in Perl. The data

is stored on a Microsoft SQL Server 2000 database. One staff member and one off-site contractor have the ability to maintain this application. The application provides a basic level of services for the Rules division's business functions. It tracks the rule's status but not the actual changes that have taken place. The rules themselves are not stored or available from the system. Better reporting capabilities could provide more information to citizens and state agencies. A secure portal for agencies could be used to allow for online filing and tracking of rules. The Office of Administrative Hearings is seeking to replace this system in fiscal year 2008.

The Administrative Code Rollup program is written in Visual Basic. It is a stand alone application that processes MS Word documents in a source directory and outputs Word, HTML and PDF documents to a destination directory. This application is used to put the North Carolina Administrative Code online for citizens and state agencies to access. This application does occasionally run into problems converting files. It requires someone with administrative rights to run the application from the server. No staff members have the ability to change the application logic. An additional set of Perl scripts create the web pages necessary to browse or search the Administrative Code online. The Office of Administrative Hearings is seeking to consolidate this application into the Rules Automated Tracking System in fiscal year 2008.

#### Application Management Migration Plan

	2005	2006	2007	2008	2009	2010
Case Automated Tracking System	Maintain	Maintain	Replace	Maintain	Maintain	Maintain
Rules Automated Tracking System	Maintain	Maintain	Maintain	Replace	Maintain	Maintain
Administrative Code Rollup	Maintain	Maintain	Maintain	Consolidate with Rules Tracking	Maintain	Maintain

## **Infrastructure assets**

The Office of Administrative Hearings has a defined purchasing cycle to maintain information technology hardware, software, licensing, maintenance, and service agreements. These costs include all OAH owned computing, server, storage, and communications equipment. These costs are approximately \$50,000 per year and do not include the additional communications costs for services from OITS.

## **Operations/IT management**

## **Human resources**

# **Chapter 3 - IT Specific Economic-Driven Requirements or Opportunities**

The Office of Administrative Hearings was able to secure additional funding for the 2005-2007 biennium to replace outdated hardware and software. It is essential that these additional funds be made available to OAH on a recurring basis to maintain a current level of hardware and software in the future. Maintaining our hardware and software will reduce general maintenance and operating costs of IT, improve reliability and security of our systems, and improve service levels. These costs are approximately \$50,000 per year and do not include the additional communications costs for services from OITS.

## **Chapter 4 - IT Initiatives Developed From and Aligning With Plan Drivers**

### **Initiative 1**

- Name: Replace the Case Automated Tracking System
- Summary description: Replace the Office of Administrative Hearings Case Automated Tracking System with a reliable off the shelf product that significantly improves key business functions and usability.
- Major objectives: This initiative will improve automated interaction with public and government agencies, serve the citizens of North Carolina with quality and efficiency, increase tracking of case status and statistical information to improve accountability and make informed management decisions and reduce duplication of tasks and data. Additional objectives are to reduce risks associated with the current system and improve technical architectural fit.
- Timeframe: Fiscal year 2007
- Relationship with other agency initiatives/projects: The Office of Administrative Hearings has received requests from other agencies to access case information through online forms and reports and through other agency applications directly.
- Order-of-magnitude costs: All funding will be state appropriated and budget code will be 18210. The estimated cost for replacing this system is \$171,000 and \$17,500 per year to maintain the system thereafter.

### **Initiative 2**

- Name: Replace the Rules Automated Tracking System
- Summary description: Replace the current system with a new off the shelf system that enables increased public interaction and improves interagency communication processes.
- Major objectives: Efficiently and effectively track rules through the rulemaking process. Reduce risks associated with the current system and

improve public service to the citizens of North Carolina with quality and efficiency. Increase timeliness and accuracy of information to the public and government agencies. Increase internal efficiencies and combine processes.

- Timeframe: Fiscal year 2008
- Relationship with other agency initiatives/projects: The Office of Administrative Hearings has received requests from other agencies to access rules information through online forms and reports and through other agency applications directly.
- All funding will be state appropriated and budget code will be 18210. The estimated cost for replacing this system is \$162,500 and \$14,500 per year to maintain the system thereafter.

### **Initiative 3**

- Name: Consolidate the Administrative Code Rollup Program into the Case Automated Tracking System
- Summary description: With the improvements made to the rules tracking system in Initiative 2, the Administrative Code Rollup program could be eliminated as the functionality would be integrated into the system.
- Major objectives: Reduce costs, improve efficiencies and reduce risks associated with the current system. Increase timeliness and accuracy of information to the public and government agencies. Increase internal efficiencies and combine processes.
- Timeframe: Fiscal year 2008
- All funding will be state appropriated and budget code will be 18210. The estimated cost for consolidating this system with the Rules Automated Tracking System is \$8,000 and \$5,000 per year to maintain the system thereafter.